

12-4310-cr; 12-4365-cr; 12-4371-cr  
United States v. Grimm, et al.

UNITED STATES COURT OF APPEALS  
FOR THE SECOND CIRCUIT

At a stated term of the United States Court of Appeals for the Second Circuit, held at the Thurgood Marshall United States Courthouse, 40 Foley Square, in the City of New York, on the 26<sup>th</sup> day of November, two thousand thirteen.

Before: KEARSE, JACOBS and STRAUB, Circuit Judges.

United States of America,

Appellee,  
**ORDER**  
- v. - Docket Nos: 12-4310-cr;  
12-4365-cr; 12-4371-cr

Peter S. Grimm, Dominick P. Carollo, Steven E. Goldberg,

### Defendants-Appellants,

and  
UBS AG, UBS SECURITIES LLC, UBS FINANCIAL SERVICES, INC.,  
Intervenors.

It is hereby ORDERED that the judgments of conviction of Steven Goldberg, Peter Grimm, and Dominick Carollo are REVERSED. An opinion will follow in due course.

For the Court:

Catherine O'Hagan Wolfe,  
Clerk of Court

A circular red stamp with the words "UNITED STATES" at the top and "COURT OF APPEALS" at the bottom. In the center, it says "SECOND CIRCUIT" with two stars on either side. The stamp is overlaid on a signature that reads "Catherine Hazel Wolfe".